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PTO/SB/05 (1/98)

Approved for use through 09/30/00. OM 0651-0032
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
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UTILITY PATENT APPLICATION TRANSMITTAL <small>(Only for new nonprovisional applications under 37 CFR 1.53(b))</small>	Attorney Docket No.	M-4540-1C US
	First Named Inventor or Application Identifier	Robert A. Foster
	Title	Data Processing System for Complex Pricing and Transactional Analysis
	Express Mail Label No.	EL 487 714 281 US

APPLICATION ELEMENTS
See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

Assistant Commissioner for Patents
Box Patent Application
Washington, D.C. 20231

1. ☒ **Fee Transmittal Form - see page 2 of this form.**
(Submit an original, and a duplicate for fee processing)
2. **Application:**
 - ☒ **Specification:** (preferred arrangement set forth below)
Descriptive title of the Invention,
Cross References to Related Applications,
Reference to Microfiche Appendix,
Background of the Invention,
Brief Summary of the Invention,
Brief Description of the Drawings, and
Detailed Description (all totaling (25 pages)
Appendix(es) _____, & _____ (pages)
 - ☒ **Claims** 8 pages
 - ☒ **Abstract of the Disclosure** 1 page
3. ☒ **Drawings (35 USC 113)** [Total Sheets 6]
4. **Oath or Declaration** ☒ [Total Pages 2]
 - a. ☐ Newly executed (original or copy)
 - b. ☒ Copy from prior application (37 CFR §1.63(d))
(for continuation/divisional with Box 17 completed)
 - c. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s)
named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
5. ☒ **Incorporation By Reference** (useable if Box 4b is checked)
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

6. ☒ **Microfiche Computer Program Appendix**
consisting of 4 pages of microfiche containing 320 frames on each page in accompanying envelope.
7. **Nucleotide and/or Amino Acid Sequence Submission**
(if applicable, all necessary)
 - a. ☐ Computer Readable Copy
 - b. ☐ Paper Copy (identical to computer copy)
 - c. ☐ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

8. ☐ Assignment Papers (cover sheet & documents) _____ pages
9. ☐ 37 CFR §3.73(b) Statement ☒ Power of Attorney
(combined when there is an _____ with Patent Declaration
Assignee) above.)
10. ☐ English Translation Document (if applicable)
11. ☐ Information Disclosure Statement (IDS) & ☐ PTO-1449 ☐ _____ Copies of IDS
Citations/References
12. ☒ Preliminary Amendment 7 pages
13. ☒ Return Receipt Postcard (MPEP 503)
(should be specifically itemized)
14. **Small Entity Status**
 - ☐ Small Entity Statement Enclosed _____ pages
 - ☐ Statement filed in prior application; and
status still proper and desired
 - ☐ Is no longer claimed.
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☐ Other:
 - ☐ Copy of Petition for Extension of Time filed in parent appl.;
 - ☐

17. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information and a preliminary amendment:
☒ Continuation ☐ Divisional of prior application No. 08/904,716
Filed on August 1, 1997, entitled: Data Processing System For Complex Pricing And Transactional Analysis

PRIOR APPLICATION INFORMATION: Examiner _____ Group Art Unit _____

18. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label

or ☒ Correspondence address below

Name	Edward C. Kwok					Reg. No. 33,938
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19. Fee calculations.

CLAIMS (Number Filed)	(1) FOR	(2)	(3) NUMBER EXTRA	(4) RATE	(5) CALCULATIONS
40	TOTAL CLAIMS (37 CFR 1.16(c))	-20	= 20	x \$18	= \$ 360.00
2	INDEPENDENT CLAIMS (37 CFR 1.16(b))	-3	= 0	x \$78	= \$ 0.00
<input checked="" type="checkbox"/>	MULTIPLE DEPENDENT CLAIMS (if applicable) (37 CFR 1.18(d))		+ \$260.00	=	
			BASIC FEE (37 CFR 1.16(a))	=	\$ 690.00
			Total of above Calculations	=	\$1,050.00
			Reduction by 50% for filing by small entity (Note 31 CFR 1.9, 1.27, 1.28).	=	
			TOTAL	=	\$1,050.00

NO FILING FEE AT THIS TIME

21. ☐ Other: _____

NOTE: The prior application's correspondence address will carry over to this UPA UNLESS a new correspondence address is provided below.

22. NEW CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label

☐ New correspondence address below

NAME			
ADDRESS			
CITY			
COUNTRY	STATE	ZIP CODE	
	TELEPHONE	FAX	

23. SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT REQUIRED

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San Jose, CA 95110
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Date: _____

Name: Edward C. Kwok

Signature: _____

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Reg. No. 33,938

3/27/2000

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